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Attorney Docket No.: 017002-012729US

Assistant Commissioner for Patents  
Washington, D.C. 20231



*April 3 2002*

TOWNSEND and TOWNSEND and CREW LLP

By: *James J. Jot*

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Jean-Marc Jot, et al.

Application No.: 09/806,193

Filed: March 26, 2001

For: Method and Apparatus for Three-Dimensional Audio Display

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:


The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. Also enclosed is a copy of the Search/Examination report corresponding to the PCT application. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
George B.F. Yee  
Reg. No. 37,478

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PTO/SB/08A (08-00)

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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

## Complete if Known

Application Number 09/806,193  
Filing Date January 9, 2002  
First Named Inventor Jot, Jean-Marc  
Group Art Unit 2643  
Examiner Name Unassigned  
Attorney Docket Number 017002-012720US

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## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	5,436,975		Lowe et al.	07/25/1995	
	AB	5,500,900		Chen et al.	03/19/1996	
	AC	5,521,981		Gehring	05/28/1996	
	AD	5,596,644		Abel et al.	01/21/1997	
	AE	5,802,180		Abel et al.	09/01/1998	
	AF	5,809,149		Cashion et al.	09/15/1998	
	AG					
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## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
	AU		WO 95 31881		Crystal River Eng.	11/23/1995	
	AV						
	AW						
	AX						
	AY						
	AZ						

Examiner  
Signature

Date  
Considered

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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the tde (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible it is to place a check mark here if English language Translation is attached.

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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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Sheet **2** of **2**

**Complete if Known**

Application Number	09/806,193
Filing Date	January 9, 2002
First Named Inventor	Jot, Jean-Marc
Group Art Unit	2643
Examiner Name	Unassigned
Attorney Docket Number	017002-012720US

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## **OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T. <sup>2</sup>
	BA	JEFFREY S. BAMFORD, et al., Ambisonic Sound for Us, Presented at the 99th Conv. Audio Eng. Soc. (preprint 4138).	
	BB	JOHN M. CHOWNING, The Simulation of Moving Sound Sources, J. Audio Eng. Soc. January 1971, Vol. 19, No. 1, pp. 2-6.	
	BC	MICHAEL J. EVANS, et al., Spherical Harmonic Spectra of Head-Related Transfer Functions, Presented at the 103rd Conv. Audio Eng. Soc. (preprint 4571), September, 1997, New York.	
	BD	KEN FARRAR, Soundfield Microphone, Wireless World, October, 1979, pp. 48-50.	
	BE	KEN FARRAR, Soundfield Microphone - 2, Wireless World, November, 1979, pp 99-102	
	BF	MICHAEL A. GERZON, Ambisonics in Multichannel Broadcasting and Video, J. Audio Eng. Soc., Vol. 33, No. 11, November, 1985, pp. 859-871.	
	BG	JEAN-MARC JOT, et al., A Comparative Study of 3-D Audio Encoding and Rendering Techniques, AES 16th Intl. Conf. on Spatial Sound Reproduction.	
	BH	JEAN-MARC JOT, et al., Digital Signal Processing Issues in the Context of Binaural and Transaural Stereophony, Presented at the 98th Conv. Audio Eng. Soc. (preprint 3980), February 1995, Paris, France.	
	BI	DORIS J. KISTLER, et al., A Model of Head-Related Transfer Functions Based on Principal Components Analysis and Minimum-Phase Reconstruction, J. Acoust. Soc. Am. Vol. 91, No. 3, March, 1992, pp. 1637-1647.	
	BJ	M. MAROLT, Proc. IEEE 1995 Workshop on Applications of Signal Processing to Audio and Acoustics, October 15-18, New York.	
	BK	VILLE PULKKI, Virtual Sound Source Positioning Using Vector Base Amplitude Panning, J. Audio Eng. Soc., Vol. 45, No. 6, June, 1997, pp. 456-466.	
	BL	WILLIAM L. MARTENS, Principal Components Analysis and Resynthesis of Spectral Cues to Perceived Direction, 1987 ICMC Proceedings, August, 1987, Illinois, pp. 274-281	
	BM	CHRIS TRAVIS, Virtual Reality Perspective on Headphone Audio, Presented at 101st Conv. Audio Eng. Soc. (preprint 4354)	
	BN	WILLIAM G. GARDNER, 3-D Audio Using Loudspeakers Submitted to the Program in Media Arts and Sciences, September, 1997.	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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